

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Yasuhisa SAKURAI et al. :  
Serial No. [NEW] : Attn: Application Branch  
Filed February 27, 2002 : Attorney Docket No. 2002-0303  
ELECTROSTATIC BONDING TYPE :  
MACROMOLECULAR MICELLE DRUG :  
CARRIER AND DRUG CARRIED :  
THEREON :  
(Rule 1.53(b) Continuation of Serial No.  
09/729,216, Filed December 5, 2000)



THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975.

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of [X] the references listed on attached form PTO-1449 and/or [ ] the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 08/584,329.

1a. [X] This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

1d. ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this information was not received by any individual designated in 37 CFR 1.56(c) more than 30 days prior to the filing of this Information Disclosure Statement. Accordingly, this application is entitled to the protection of 37 CFR 1.704(d) with regard to the filing of this Information Disclosure Statement.

2. It is hereby certified


a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.
4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page \_\_\_\_\_,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Yasuhisa SAKURAI et al.

By   
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February 27, 2002

FORM PTO 1449 (modified)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICELIST OF REFERENCES CITED BY APPLICANT(S)  
(Use several sheets if necessary)

Date Submitted to PTO: February 27, 2002

ATTY DOCKET NO.  
2002-0303SERIAL NO.  
[NEW]APPLICANT  
Yasuhisa SAKURAI et al.FILING DATE  
February 27, 2002

GROUP

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,412,072	5/1995	Sakurai et al.			
	AB	5,449,513	9/1995	Yokoyama et al.			
	AC	5,746,998	5/1998	Torchilin et al.			
	AD	5,656,611	8/1997	Kabanov et al.			
	AE						
	AF						
	AG						
	AH						
	AI						

J1050 U.S. PTO  
10/083466  
02/27/02

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AJ	5-117385	5/1993	Japan			Abstract
	AK						
	AL						

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

	AM	HARADA et al., Macromolecules, 28 (15), pages 5294-5299 (7/1995)
	AN	WPIDS ABSTRACT No. 93-191564 to JP-05117385 (5/1993)
	AO	YOKOYAMA, Critical Reviews in therapeutic Drug Carrier Systems, 9(3,4), pages 213-248 (1992)
	AP	TRUBETSKOY et al., Proceed. Intern. Symp. Control. Rel. Bioact. Mater., 21, pages 676-677 (1994)

EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.